

YOUTH SERVICES POLICY

Title: Contract Provider Financial and Performance Reporting Next Annual Review Date: 08/30/2012	Type: A. Administrative Sub Type: 3. Fiscal Number: A.3.14
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References: Act 12, Section 18.B(1) of the 2011 Regular Legislative Session.	
STATUS: Approved	
Approved By: Mary L. Livers, Deputy Secretary	Date of Approval: 08/30/2011

I. AUTHORITY:

Deputy Secretary of Youth Services as contained in La. R.S. 36:405. Deviation from this policy must be approved by the Deputy Secretary.

II. PURPOSE:

As contained in Act 12, Section 18.B(1) of the 2011 Regular Legislative Session.

III. APPLICABILITY:

Deputy Secretary, Assistant Secretary, Undersecretary, Deputy Undersecretary, Chief of Operations, Deputy Assistant Secretaries, Information Technology (IT) Director. Sub-recipients, as identified in the attached sub-recipient checklist, Program Staff, Contract and Grants Reviewer Staff, and Budget Staff are responsible for ensuring that all necessary procedures are in place to comply with the provisions of this policy.

IV. DEFINITIONS:

Quasi-Public Agency - An organization, either not-for-profit or for-profit, created by the state of Louisiana or any political subdivision or agency thereof, any special district or authority, or unit of local government to perform a public purpose.

V. POLICY:

As contained in Act 12, Section 18.B(1) of the 2011 Regular Legislative Session, funds transferred to public or quasi-public agencies or entities, shall submit for approval a comprehensive budget to the legislative auditor and the Office of Juvenile Justice (OJJ) showing all anticipated uses of the appropriation, an estimate of the duration of the project, and a plan showing specific goals and objectives for the use of such funds, including measures of performance.

In addition, and prior to making such expenditure, the OJJ shall require each recipient to agree in writing to provide written reports to the transferring agency at least every six (6) months concerning the use of the funds and the specific goals and objectives for the use of the funds.

VI. PROCEDURES:

- A. Financial and performance reporting of all public and quasi-public recipients of funds appropriated in Act 12 of the 2011 Regular Legislative Session shall be outlined in the Standard Operating Procedures (SOP) for the OJJ Office of Management and Finance (OMF) Section.
- B. OJJ OMF staff transferring funds to public and quasi-public agencies or entities must follow the conditions listed below:
 - 1. Contract staff shall identify the sub-recipients, using the Sub-Recipient Checklist [see Attachment (a)]. The checklist shall be attached to each sub-recipient that is identified.
 - 2. Contract staff shall utilize the Compliance Tracking Report [see Attachment (b)] to compile a list of sub-recipients and forward it to the Budget Staff by January 15, 2012, and by January 15th of each year thereafter.
 - 3. Budget staff shall receive the sub-recipient list from contract staff and retrieve the necessary financial and performance reporting documents from the YS Contract Maintenance on HQ in Lotus Notes database for each sub-recipient.
 - 4. The Budget Staff shall then forward copies of the necessary financial and performance documents to the Legislative Auditor's office.
 - 5. The Budget Staff shall then make an entry into the YS Contract Maintenance on HQ in Lotus Notes database documenting the date the documents were forwarded to the Legislative Auditor's office.
 - 6. Program Staff shall receive and review written reports from the sub-recipients at least every six (6) months where applicable, and for those contracts with a duration beyond six (6) months, concerning the use of the funds and the specific goals and objectives for the use of the funds.
 - 7. The Program Staff shall evaluate the written reports and ensure that the sub-recipients are meeting or have met the goals and objectives for use of the appropriated funds in Act 12 of the 2011 Regular Legislative Session.

8. Should the Program Staff find that within the estimated duration of the project the sub-recipient failed to use the funds set forth in its budget or failed to reasonably achieve its specific goals and objectives for the use of funds, the Program Staff shall demand that any unexpended funds be returned to the state treasury unless approval to retain the funds is obtained from the Division of Administration and the Joint Legislative Committee on the Budget.
9. The Budget Staff shall submit to the Legislative Auditor's Office, the Division of Administration, and the Joint Legislative Committee on the Budget, the Compliance Tracking Report showing specific data regarding compliance with Act 12, Section 18.B(1), and collection of any unexpended funds, no later than May 1, 2012, and by May 1st of each year thereafter.

Previous Regulation/Policy Number: N/A

Previous Effective Date: N/A



Attachments/References: A.3.14 (a) Sub-recipient Checklist August,11.docx



A.3.14 (b) Compliance Tracking Report.xlsx